

PTO/SB/30 (09-03)

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Request for Continued Examination (RCE) Transmittal

Address to:
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P.O. Box 1450
Alexandria, VA 22313-1450

Application Number	09/476,448
Filing Date	December 30, 1999
First Named Inventor	Stuart Lee Breslow
Art Unit	3627
Examiner Name	Andrew J. Rudy
Attorney Docket Number	74622-010

This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application. Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. See Instruction Sheet for RCEs (not to be submitted to the USPTO) on page 2.

1. **Submission required under 37 CFR 1.114** Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).

- a. ☐ Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.
- i. ☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on _____
- ii. ☐ Other _____
- b. ☒ Enclosed
- i. ☒ Amendment/Reply
- ii. ☐ Affidavit(s)/ Declaration(s)
- iii. ☐ Information Disclosure Statement (IDS)
- iv. ☐ Other _____

2. Miscellaneous

- a. ☐ Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of _____ months. (Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)
- b. ☐ Other _____

3. Fees

- The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed. The Director is hereby authorized to charge the following fees, or credit any overpayments, to
- a. ☒ Deposit Account No. 16-2500
- i. ☒ RCE fee required under 37 CFR 1.17(e)
- ii. ☒ Extension of time fee (37 CFR 1.136 and 1.17)
- iii. ☒ Other any other fee required in connection with this submission
- b. ☐ Check in the amount of \$ _____ enclosed
- c. ☐ Payment by credit card (Form PTO-2038 enclosed)

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Name (Print/Type)	John C. Stellabotte	Registration No. (Attorney/Agent)	47,969
Signature	<i>John C. Stellabotte</i>	Date	May 20, 2005

CERTIFICATE OF MAILING OR TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 or facsimile transmitted to the U.S. Patent and Trademark Office at (703) 572-4350 on the date shown below.

Name (Print/Type)	Juan C. Arias	Date	May 20, 2005
Signature	<i>Juan C. Arias</i>		

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Date May 20, 2005 **Client-Matter** 74622-010

Total Pages (Including Cover) 13

From **John C. Stellabotte**

XANDAR'S VOICE NUMBER 212.969.3413

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Main File Number 212,969,2000

To: Examiner: Andrew J. Rudy

Fax No.: 703.872.9306

Company: United States Patent and Trademark Office – Group Art Unit 3627 **Voice No.:**

Re: Inventor : Stuart Lee Breslow et al.
Serial No. : 09/476,448
Filing Date : December 30, 1999
Title : ON-LINE TRADING SYSTEM
Att'y Docket : 74622-010

Students should plan on finding the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)
- 3) Request for Continued Examination (RCE) Transmittal
- 4) Response to June 21, 2004 Office Action with Petition for Extension of Time and Request for Continued Examination Under 37 C.F.R. § 1.114

FACSIMILE TRANSMISSION CERTIFICATE

I hereby certify that these papers are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Juan C. Arias

Name of person signing the certification

Juan C. Ania May 20, 2005
Signature Date

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Stuart L. Breslow, et al.Application No./Patent No.: 09/476,448 Filed/Issue Date: December 30, 1999Entitled: **ON-LINE TRADING SYSTEM**

UBS Financial Services, Inc., a Corporation
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
 The extent (by percentage) of its ownership interest is _____ %

In the patent application/patent identified above by virtue of either:

- A ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:


1. From: Stuart Lee Breslow et al. To: PaineWebber Incorporated
 The document was recorded in the United States Patent and Trademark Office at
 Reel 010485, Frame 0488, or for which a copy thereof is attached.
2. From: PaineWebber Incorporated To: UBS PaineWebber Inc.
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.03]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

	<u>5/20/05</u>
Signature	Date
<u>Gregg J. Goldman</u>	<u>203 718 3088</u>
Printed or Typed Name	Telephone Number
Director and Senior Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch	
Title	

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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